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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/680,002	10/07/2003	Yu Xu	30011470 US-02	4555
7590	07/26/2005		EXAMINER	SHAFER, RICKY D
Paul D. Greeley, Esq Ohlandt, Greeley, Ruggiero & Perle, L.L.P. 10th Floor One Landmark Square Stamford, CT 06901-2682			ART UNIT	PAPER NUMBER
			2872	
DATE MAILED: 07/26/2005				

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)
	10/680,002	XU, YU
Examiner	Art Unit	
Ricky D. Shafer	2872	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

1)  Responsive to communication(s) filed on 09 May 2005.

2a)  This action is FINAL.                            2b)  This action is non-final.

3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## **Disposition of Claims**

4)  Claim(s) 1-19 is/are pending in the application.  
4a) Of the above claim(s) 8 and 14-18 is/are withdrawn from consideration.  
5)  Claim(s) \_\_\_\_\_ is/are allowed.  
6)  Claim(s) \_\_\_\_\_ is/are rejected.  
7)  Claim(s) \_\_\_\_\_ is/are objected to.  
8)  Claim(s) 1-7,9-13 and 19 are subject to restriction and/or election requirement.

## Application Papers

9)  The specification is objected to by the Examiner.

10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a)  All b)  Some \* c)  None of:  
1.  Certified copies of the priority documents have been received.  
2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

1)  Notice of References Cited (PTO-892)  
2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3)  Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date .

4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_ .

5)  Notice of Informal Patent Application (PTO-152)

6)  Other: \_\_\_\_ .

1. Applicant's election of species "A", a single notch filter, and species "1", the species depicted by Fig. 1, in the reply filed on 5/09/2005 is acknowledged. Because applicant did not distinctly and specifically point out the supposed errors in the restriction requirement, the election has been treated as an election without traverse (MPEP § 818.03(a)).

Applicant asserts that claims 1-17 and 19 are readable on the elected species.

The examiner disagrees and states that claim 8 is drawn to species "3", depicted by Fig. 4, due to the fact that the claim recites a beam splitter and reflecting element which is not the case with elected species "1".

The examiner disagrees and states that claims 14-17 are drawn to species "4", depicted by Fig. 5, due to the fact that the claims recites an additional layer of metal disposed upon another surface of the dielectric optical element opposite the metal/dielectric interface so as to form an additional metal/dielectric interface which is not the case with elected species "1".

2. Accordingly, claims 8 and 14-18 are withdrawn from further consideration by the examiner, 37 CFR1.42(b), as being drawn to a nonelected species. Election was made without traverse in the reply filed on 5/09/2005.

3. Restriction to one of the following inventions is required under 35 U.S.C. 121:

I. Claims 2-5 and 7, drawn to an optical notch filter comprising a dielectric optical element having a metal layer, a dielectric medium, at least one polarization modifying element and a light directing optical element (AB), classified in class 359, subclass 485.

II. Claims 6 and 10-13 drawn to an optical notch filter comprising a dielectric optical element having a metal layer, a dielectric medium, at least one polarization

modifying element with particular dielectric medium details or polarization  
modifying element details (Bsp), classified in class 359, subclass 485.

III. Claim 19, drawn to a method of filtering out light comprising directing light of a p-polarized state and an s-polarized state upon a metal/dielectric interface and translating the state of s-polarized state to the p-polarized state, classified in class 359, subclass 485.

4. Claims 1 and 9 link(s) inventions I and II. The restriction requirement between the linked inventions is subject to the nonallowance of the linking claim(s), claims 1 and 9. Upon the allowance of the linking claim(s), the restriction requirement as to the linked inventions shall be withdrawn and any claim(s) depending from or otherwise including all the limitations of the allowable linking claim(s) will be entitled to examination in the instant application. Applicant(s) are advised that if any such claim(s) depending from or including all the limitations of the allowable linking claim(s) is/are presented in a continuation or divisional application, the claims of the continuation or divisional application may be subject to provisional statutory and/or nonstatutory double patenting rejections over the claims of the instant application. Where a restriction requirement is withdrawn, the provisions of 35 U.S.C. 121 are no longer applicable.

*In re Ziegler*, 44 F.2d 1211, 1215, 170 USPQ 129, 131-32 (CCPA 1971). See also MPEP § 804.01.

5. The inventions are distinct, each from the other because:

Inventions III and [I, II] are related as process and apparatus for its practice. The inventions are distinct if it can be shown that either: (1) the process as claimed can be practiced by another materially different apparatus or by hand, or (2) the apparatus as claimed can be used

to practice another and materially different process. (MPEP § 806.05(e)). In this case, the process as claimed can be practiced by another materially different apparatus such as an apparatus without a dielectric medium having a dielectric constant different from a dielectric constant of the dielectric optical element and/or the apparatus as claimed can be used to practice another materially different process such as one without light of a p-polarized state and an s-polarized state.

Inventions I and II are related as combination and subcombination. Inventions in this relationship are distinct if it can be shown that (1) the combination as claimed does not require the particulars of the subcombination as claimed for patentability; and (2) that the subcombination has utility by itself or in other combinations (MPEP § 806.05(c)). In the instant case, the combination as claimed does not require the particulars of the subcombination as claimed because of the omission of particular polarization modifying element being a phase retarder and/or the dielectric medium includes a liquid crystal layer. The subcombination has separate utility such as an apparatus without a light directing optical element.

6. Because these inventions are distinct for the reasons given above and have acquired a separate status in the art because of their recognized divergent subject matter, as indicated below, restriction for examination purposes as indicated is proper.

The search required for Group I would further require a search in class 359, subclass 834 which would not be required for Groups II and III.

The search required for Group II would further require a search in class 359, subclass 578 which would not be required for Groups I and III.

The search required for Group III would further require a search in class 359, subclass 900 which would not be required for Groups I and II.

7. Applicant is advised that the reply to this requirement to be complete must include an election of the invention to be examined even though the requirement be traversed (37 CFR 1.143).

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ricky D. Shafer whose telephone number is (571) 272-2320. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

RDS

July 25, 2005

  
RICKY D. SHAFER  
PATENT EXAMINER  
ART UNIT 2872